31 January 1997

STANDARD OPERATING PROCEDURE D65-01-05

From: D65
To: D65 Division

Subj: DIVISION PROGRAM MANAGEMENT NOTEBOOKS

1. Purpose. To establish the requirement for Program Management Notebooks and identify those key elements, both mandatory and optional, that will be included in them.   Procedures and guidelines are provided to assist in the preparation of those key elements/enclosures.

2. Scope and Application. This procedure applies to all Division programs with funding of at least $50K. Notebook elements identified as MANDATORY represent the minimum requirements. Optional elements represent those that may be applicable to any number of programs and may assist the program manager or project engineer. These elements are, by no means, all inclusive. There may be "program-unique" areas that may drive unique elements. The basic intent is to assist program managers in, first, identifying the key elements needed to properly organize and manage a program, second, providing a tool containing these key elements, and, third, providing program managers with exposure to other elements or tools that may be of value and giving them flexibility to use them.

3. Policy.   Program Management Notebooks are required for all Division programs with funding of at least $50K. Program Management Notebooks will serve three key objectives. First, they will contain all key elements and products that a program manager or project engineer needs to properly manage his or her program in one location. Second, they provide a valuable "continuity tool" and ready reference for future program managers who may manage the same or similar programs. Third, they provide a ready source of program status information for the sponsor, potential sponsors, and supervisors.   Notebooks will, as a minimum, contain the following mandatory elements/enclosures:

   a. Copy of Division SOP - 01-02 (this procedure)
   b. Tasking Letter from Sponsor (the initial correspondence from a sponsor that formally notifies you of a program tasking or taskings; in some cases, this may be the original funding document; if you can, get a copy of the Program Master Schedule that shows all tasked organizations and a "top-level" schedule of the program milestones and how organizations and taskings relate)
   c. Plan of Action and Milestones (POA&M)
   d. Copies of all funding documents
   e. Copies of Monthly Reports

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The following are <u>optional</u> elements/enclosures:

    a. Sponsor/Customer Program Policy and Guidelines (i.e., Rules of Engagement, Chain of Command, etc.)

    b. Program Master Schedule (Top-level)

    c. Copies of document "deliverables" (i.e., technical reports, etc.)

    d. Process flow "maps" for internal and external funding

    e. Product flow "maps" for products you are required to deliver (should show internal and external flow to clarify who all the "customers" are)

4. <u>Element/Enclosure Descriptions</u>. Descriptions and contents of all Program Notebook elements/enclosures are contained in the following paragraphs. The first enclosure will always be a copy of this procedure.

    a. <u>Tasking Letter from Sponsor (Mandatory)</u> - This is the initial correspondence from a sponsor or customer that notifies the Division, Branch, or program manager of a tasking or taskings. This requirement can also come in the form of an initial funding document that specifically identifies the tasking(s) to be performed.

    b. <u>Plan of Action and Milestones (POA&M; Mandatory)</u> - The POA&M is the program plan and is required for every Division program with funding of at least $50K and requires approval from both Branch and Division Heads. Both of the associated documents referenced in paragraph 3 contain detailed information on the contents of a POA&M with examples. Copies of these documents and examples of representative POA&Ms are available upon request from Division Staff or Branch Heads. Each section of a POA&M is described below.

    (1) <u>Title Page</u> - The Title Page, as a minimum, should contain program title, task number(s), date, document number (controlled by the Branch Head), "prepared by" name and signature of the program manager or project engineer, and "approval" signatures for the Branch Head, Division Head, and, if applicable, the sponsor. There may be some variation dependent upon program administrative requirements of each sponsor.

    (2) <u>Table of Contents</u> - Self-explanatory

    (3) Task Objective - This section describes the specific objectives to be attained/program objectives satisfied by accomplishment of assigned taskings.

    (4) <u>References</u> - This section identifies all reports, directives, and/or correspondence pertaining to the assigned tasking(s). Examples include the sponsor tasking letter (see paragraph 1.2.1) and/or applicable NCCOSC RDT&E Division documents. This section might also include reports, plans or other technical and administrative documents pertinent to the program (i.e., sponsor-generated guidance)

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(5) <u>Background</u> - This section will contain relevant historical data leading up to the need for and establishment of the tasking(s). A brief description of the system should be included along with the specific identity of the sponsor and "ultimate" customer (if different from the sponsor.

(6) <u>Description of the Tasking(s)/Work to be performed</u> - This section should contain a detailed description or listing of all specific tasks to be performed to attain stated program objectives. The work description should include both a detailed narrative describing each task and a Work Breakdown Structure (WBS); traceability back to the applicable tasking document or sponsor work statement is highly recommended to both avoid omissions and ensure a clear understanding of what is expected from the sponsor). Be sure to include all deliverable items (i.e., technical documents, administrative documents, hardware and software), Government Furnished Equipment, and, if applicable, equipment to be used from a contractor. THIS IS KEY TO PROGRAM SUCCESS. IT IS IMPERATIVE THAT THE PROGRAM MANAGER AND SPONSOR BOTH CLEARLY UNDERSTAND PROGRAM REQUIREMENTS AND HOW THEY ARE TO BE SATISFIED.

(7) <u>Schedule and Milestones</u> - The program Schedule and Milestones should be a GANTT Chart or similar product directly traceable to the WBS identified in paragraph 1.2.2.6. The schedule should identify the timespan and resources required to perform all identified taskings and should also illustrate how individual tasks and associated milestones relate to and support other program requirements, as required (i.e. a technical document the Division creates might be required by another NRaD Code or other command agency by a certain date with certain information to enable them to meet their program tasking(s)). The schedule should demonstrate a clear understanding by the program manager of both the time and resources he or she requires to perform assigned taskings and how their accomplishment relates and supports the rest of the program. The program <u>critical path</u> should be shown, if possible. Taskings with uncertainty or high schedule risk should be identified and given suitable "bank" time in the schedule. Program milestones met by completion of taskings should be clearly shown. With the exception of sustained "level of effort" tasks, specific or complex tasks, such as completion of a TPS, should be broken down into stages or sub-elements for better visibility. THE SCHEDULE AND MILESTONES IS THE PRIMARY MEASURE OF PROGRAM STATUS FOR BOTH THE PROGRAM MANAGER AND THE SPONSOR. THE SCHEDULE AND ITS CONTENTS SHOULD BE COORDINATED WITH THE SPONSOR EARLY IN THE PROGRAM TO ENSURE COMPLETENESS AND ACCURACY.

(8) <u>Resource Requirements</u> - This section should include a listing and/or table identifying all "planned", "authorized", and "on hand" budget/funding requirements for each Fiscal Year for the program (Funding or Budget Plan). Again, this should be traceable back to the WBS. All personnel requirements (a Manpower Plan showing both government and subcontractor personnel requirements, if applicable, over time), equipment requirements (GFE, hardware, software), facility/industrial space requirements, and any other resources the program manager needs to support the program. Funding should be identified by "type" and "source" and should be planned over the duration of the program. Performance to the "funding or budget plan" should be tracked, as a minimum, monthly (an Excel or Lotus chart illustrating "actuals" versus "planned" is recommended). Resource requirements that are not available (i.e., resources to be obtained from another source, an industrial area that needs to be created, a piece of test equipment that needs to be leased or procured) need to be planned, "need dates" forecasted, and, if required, funding identified early enough in the program to enable resources to be available when needed. RESOURCE REQUIREMENTS NOT PLANNED OR FORECASTED REQUIRE IMMEDIATE COORDINATION WITH THE SPONSOR PARTICULARLY IF ADDITIONAL FUNDING IS REQUIRED.

(9) <u>List of Key Personnel</u> - This section should contain a listing of all key personnel supporting the program, including the names of sponsors, customers, or customer representatives. Information should include name, Code/organization, work phone numbers, and, if desired, home phone numbers.

c. <u>Funding Documents (Mandatory)</u> - This section includes all funding documents that are applicable to the program. More specifically, funding documents include but are not limited to Funding Document Acceptance Forms (FDA), 2275s (Work Request), 2276 (Request for Contract Procurement), 2276A (Combination of Work Request, reimbursable or fixed price, and contract procurement), 448 (Military Interagency Procurement Request), NRaD Forms 4225/1 (credit card purchases), and NRaD forms 4270/1 (Material Service Request).

d. <u>Monthly Reports (Mandatory)</u> - This section will contain copies of all monthly status reports sent to sponsors and customers. Monthly Report format examples are available upon request. Format requirements are shown in NAVELEXSD Procedure D-1700 (see subparagraph on "Monthly Program Review").

e. <u>Sponsor/Customer Program Policy and Guidelines (Optional)</u> - This section will include sponsor and/or customer policy letters or guidelines describing how the program will be administered. A good example would be a policy letter or document showing the overall program organizational structure (chain of command) with clearly depicted lines of communication.

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f. Program Master Schedule (Optional) - This section will include a "top Level" master schedule showing all major organizations and associated major taskings/milestones and how they relate or support one another. For complex programs with many organizations, tasks, and milestones, program managers should recommend to the sponsor that this be accomplished.

g. Document Deliverables (Optional) - This section will contain copies of all required deliverable "paper" products (i.e., completed analyses, studies, or reports specifically identified in tasking letters and POA&Ms).

h. Funding Process Flow "Maps" (Optional) - This section will include a process flow diagram showing organizations, both internal and external, that are involved in the funding process. The "map" should clearly show what type of document and type of money along with "senders" and "receivers". For complex programs, this can be a valuable product to assist program managers in "keeping the books straight".

i. Product Process Flow "Maps" (Optional) - This section will include a process flow showing, first, where the product requirement came from, second, who will perform the work, third, who receives the product, and, finally, what is it used for (i.e., what program objective does the product support).

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